# COMMUNITY DEVELOPMENT FUNDING GUIDE
# Revised March 2017

City of Waco, Housing & Economic Development Department
P.O. Box 2570
Waco, Texas 76702-2570

CITY OF WACO

Housing and Economic Development Department
P.O. Box 2570
Waco, Texas 76702-2570
254 / 750-5656
Fax: 254 / 750-5604

March 10, 2017

Dear Citizen Organizations:

The City of Waco Housing and Economic Development Department is accepting applications for funding of eligible projects to revitalize stabilize and improve our city's neighborhoods. Applications that address the need to assist with the preservation and/or creation of decent, safe and affordable housing, and community development for all citizens of the City of Waco are a high priority. Applications that address the need of public facilities, public services, youth, or elderly, etc. will also be accepted. The City Council has worked with city staff to develop a process to ensure that increasingly scarce resources are allocated to meet the needs identified as having the highest priority.

The City of Waco will fund projects that help accomplish the goals of the Waco City Council, which include the goals of the Prosper Waco Initiative and/or the national objectives of the Community Development Block Grant (CDBG) program. The City Council may fund projects that are eligible through CDBG funds, or other City funds.

Applications must be received by 5:00 p.m., Wednesday, April 12, 2017.

If you need additional information or assistance please contact Christy Plemons at (254) 750-5443 or Mark Heitman at (254) 750-5664.

Sincerely,

Melett R. Harrison
Director of Housing and Economic Development
City of Waco

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# INTRODUCTION

In 1974, Congress passed the Housing and Community Development Act that created a block grant program designed to give cities financial resources to help solve urban problems. The concept of ~~"b~~block grants" placed the decision-making process in the hands of local governments and citizens. The City of Waco is an ~~"e~~ntitlement city" and as such receives an allocation each year of Community Development Block Grant (CDBG) funds based on a formula. The U.S. Department of Housing and Urban Development (HUD) administers this program.

In the 1990's, HUD established a planning effort called the Consolidated Plan. The purpose of the Consolidated Plan was to coordinate the effective use of federal, state and local resources to expand affordable housing opportunities. The Consolidated Plan consisted of an assessment of community needs and the housing market and development of priority strategies for achieving or expanding affordable housing for low and very low-income persons. To address non-housing needs, Congress required local governments to develop a new Community Development Plan focusing on infrastructure, neighborhood improvements, and public services.

In addition to funds available from CDBG, the City of Waco may provide other funds for projects that help in accomplishing the National Objectives of the CDBG program and/or the Waco City Council Goals. Therefore, the City Council may fund projects that are eligible for CDBG funds from either CDBG or other City funds. Projects that are not CDBG eligible but will help accomplish City Council Goals may be funded from other City funds. **Applicants will be responsible for proper use of funding in full compliance with HUD, federal, state and local regulations. If HUD determines that funds have been improperly used, the applicant will be responsible for repayment of such funds to HUD and/or to repay the City of Waco for any funds that have to be repaid to HUD by the City of Waco.**

**City Council reserves the right to change funding priorities. City Council is the final authority on decisions regarding funding.**

# PRIORITY NEEDS AND ACTIVITIES

In light of the limited amount of CDBG and HOME funds available to the City of Waco, the entire City's housing and community development needs cannot be addressed during the five-year Consolidated Plan period. Therefore, priorities must be established to ensure that scarce resources are directed to the most pressing housing and community development needs in the City.

A multi-step process was used to establish the priorities for the City. First, data relative to each need was collected and grouped into one of four major categories: housing needs, homeless needs, non-homeless special needs, and non-housing community development needs.

Second, the City of Waco consulted with a diverse group of public agencies, nonprofit organizations, and community development entities to determine the needs as perceived by the consumers of these groups.

Finally, the data were analyzed and priorities were established using the following definitions:

- **High** priorities are those activities that WILL be funded with CDBG funds
- **Medium** priorities are those activities that MAY be funded with CDBG funds, but only after high priorities have been funded.
- **Low** priorities are those activities that will NOT be funded with CDBG funds by the City; however, the City will consider providing certifications of consistency and supporting applications submitted for non-City funds by other entities.

Medium and low priority activities are still important and are not meant to be understood as being unnecessary in the City of Waco. Rather, it is perceived that those needs may have other, more appropriate funding sources. The City of Waco has identified a limited number of priorities to provide a focus for activities that will be funded in the next five years. If a high priority proposal is not received during the local CDBG application process, a medium priority project may be funded. There are a sufficient number of medium priority needs to ensure that funds can be spent in a timely manner.

Based on our current five-year consolidated plan, the following is a list of the highest funding priorities for the City of Waco, based on funding history over the past two (2) years:

- Public services including those that serve youth, homeless individuals or families, and provide employment training to the unemployed or underemployed
- Construction of housing
- Direct homeownership assistance
- Rehabilitation of owner-occupied housing
- Code enforcement
- Public facilities and improvements

**The Prosper Waco Goals- see pages 14 and 15**

**City Council Goals- City Council reserves the right to change funding priorities. City Council is the final authority on decisions regarding funding.**

# WACO CITY COUNCIL
# Strategic Intents
# 2017-2018

**Summary:**

The Mayor, City Council and City Manager have selected a set of Strategic Intents. The purpose is to provide a set of values, goals and objectives by which city staff, the departments and their contractors, can measure their activities.

**Strategic Intents:**
**High Quality Economical City Services and Facilities**

- Develop regional water utility strategy for both quality & quantity
- Develop comprehensive maintenance & replacement strategy for facilities & equipment
- Develop land management plan
- Develop equitable Solid Waste programs in order to promote & maintain a clean City

**Aggressively Competitive Economic and Community Development**

- Create a regional airport that can service the competitive transportation needs of the Waco area for the next half century
- Strategize downtown & river development
- Develop improved strategies for economic development
- Create industrial and commercial development strategies
- Aggressively market the attractions & amenities of the greater Waco community
- Improve support strategies for small businesses & technology

**Safe, Environmentally Sound, Pedestrian Friendly Community**

- Develop and implement a plan for better traffic circulation throughout the city and calmer traffic in the residential areas
- Develop a pedestrian friendly infrastructure
- Implement effective community safety programs
- Improve the cleanliness and appearance of the city
- Develop a fire safety and prevention strategy
- Maintain quality ambulance service standards
- Increase the level of emergency management preparedness

## Improved Housing Options, Opportunities, and Conditions

- Increase the variety of housing options and opportunities for all Wacoans
- Expand access to homeownership
- Preserve the value of existing housing stock
- Adopt development strategies tailored to specific parcels and areas of the city
- Increase resources- especially financial-available for housing activities, deploy those resources strategically and measure success.

## Enviable Culture and Quality of Life

- Make decision on the direction of library services
- Develop means of multi-cultural expression
- Explore ways of increasing multi-lingualism
- Upgrade the convention center services and facilities
- Work to eliminate racism and other forms of unlawful discrimination and harassment

## Effective Policy and Administration – Insure that each proposed or current City policy provides every citizen with equal access to all services, benefits and amenities

- Ensure that all boards and commissions are citizen directed and have a composition that reflects community demographics
- Develop a technologically advanced ~~–e~~ommon property database" with McLennan County, McCAD and other governmental entities
- Explore mutual advantages of close working partnerships with the McLennan County government and other incorporated municipalities within the county, school districts and area institutions of higher education
- Establish an agreed upon set of peer cities that shall serve as the initial benchmark in all comparative reviews.
- Adopt policies and procedures that ensure that we keep, attract and develop a superior staff
- Ensure the entire City staff is operating with a set of effectively communicated goals and objectives
- Have established policies in all areas for which results are to be monitored

## Market Waco Internally and Externally

# SUMMARY OF NATIONAL OBJECTIVES

This section summarizes the National Objectives of the Community Development Block Grant Program contained in the Code of Federal Regulations, Title 24, Part 570, Section 570.200(a)(2) and (3), 570.208(a)-(d), and 570.506. For a more complete description, the regulations should be consulted.

**NATIONAL OBJECTIVES**
Each activity, except planning and administrative activities, must meet one of the CDBG program's three broad National Objectives:

1. To benefit low- and moderate-income persons,
2. To aid in the prevention or elimination of slums or blight,
3. To meet community development needs having a particular urgency.

At least 70 percent of the grantee's overall expenditures during a specific reporting period must be used for activities that benefit low- and moderate-income persons; individual activities designed to benefit low- and moderate-income persons must assist at least 51 percent low- and moderate-income persons.

**1. Activities benefiting low- and moderate-income persons**

a) Area benefit activities

An activity, the benefits of which are available to all the residents in a particular area, where at least 51 percent of the residents are low- and moderate-income persons. The service area must be primarily residential, and the activity must meet the identified needs of low- and moderate-income persons. Examples include: street improvements; water and sewer lines; neighborhood facilities; and façade improvements in neighborhood commercial districts. The activity must meet one of the following criteria:

1) A determination that there is a sufficiently large percentage of low- and moderate-income persons residing in the service area by using the most recently available decennial census information, together with the Section 8 income limits that would have applied at the time the income information was collected by the Census Bureau; or
2) A determination of the percent of low- and moderate-income residents by means of a current survey of the residents of the service area if the recipient believes that the census data do not reflect current relative income levels in an area, or where census boundaries do not coincide sufficiently well with the service area of an activity. The survey results must meet statistical reliability standards and be approved by HUD.

Exception criteria—A service area that contains less than 51% low- and moderate-income residents will be considered to meet the national objective if the proportion of low- and moderate-income persons in the area is within the highest quartile of all areas in the recipient's jurisdiction in terms of the degree of concentration of such persons. HUD will determine the lowest proportion a recipient may use to qualify an area for this purpose.

b) Limited clientele activities

1) An activity which benefits a limited clientele, at least 51% of whom are low- and moderate-income persons. Examples include: construction of a senior center; public services for the homeless; meals on wheels for the elderly; and construction of job training facilities for the handicapped. The activity must meet one of the following criteria:

   (a) The activity must benefit a clientele that is generally presumed to be principally low- and moderate-income such as abused children, battered spouses, elderly persons, handicapped persons, homeless persons, illiterate persons, and migrant farm workers; or

   (b) Information must be required on family size and income to document that at least 51% of the clientele are persons whose family income does not exceed Section 8 low- and moderate-income limits; or

   (c) The activity must have income eligibility requirements which limit the activity exclusively to low- and moderate-income persons; or

   (d) The activities must be of such nature and in such a location that it may be concluded that the activity's clientele will primarily be low- and moderate-income persons.

2) A special project directed for removal of material and architectural barriers which restrict the mobility and accessibility of elderly or handicapped persons to publicly- and privately owned non-residential buildings, facilities and improvements and the common area of residential structures containing more than one dwelling unit.

c) Housing activities

An activity carried out for the purpose of providing or improving permanent residential structures which, upon completion, will be occupied by low- and moderate-income households. Examples include: property acquisition or rehabilitation of property for permanent housing; conversion of non-residential structures into permanent housing; and new housing construction. The activity must meet the following qualifying criteria:

1) One-unit structures must be occupied by low- and moderate-income households.

2) Two-unit structures must have at least one unit occupied by a low- and moderate-income household.

3) Structures containing more than two units must have at least 51% of the units occupied by low- and moderate-income households.

4) Rental buildings under common ownership and management which are located on the same or contiguous properties may be considered as a single structure.

5) For rental housing, occupancy by low- and moderate-income households must be at affordable rents, consistent with the standards adopted and publicized by the CDBG grantee for determining ~~"a~~ffordable rent" levels.

   Exception criteria
   New construction, non-elderly, multi-unit rental structures must have at least 20% of the units occupied by low- and moderate-income households. Where low- and moderate-income occupancy is between 20% and 50%, the CDBG portion of the total development costs – including the costs of all work from design and engineering through completion of the physical improvements and, if integral to the project, the costs of acquisition – may not be greater than the proportion of units occupied by low- and moderate-income households.

d) Job creation or retention activities

An activity designed to create or retain permanent jobs where at least 51% of which, computed on a full-time equivalent basis, involve the employment of low- and moderate-income persons. Potentially eligible activities include: construction by the grantee of a business incubator designed to offer space and assistance to new firms to help them become viable small businesses; loans to pay for the expansion of a plant or factory; and assistance to a business to prevent closure and resultant loss of jobs for low- and moderate-income persons. As a general rule, each assisted business shall be considered to be a separate activity for purposes of determining whether the activity qualifies. However, in certain cases such as where CDBG funds are used to acquire, develop or improve a real property (e.g., a business incubator or and industrial park) the requirement may be met by measuring jobs in the aggregate for all the businesses which locate on the property, provided such businesses are not otherwise assisted by CDBG funds. Additionally, where CDBG funds are used to pay for the staff and overhead costs of a paragraph 570.204 subrecipient making loans to businesses from non-CDBG funds, this requirement may be met by aggregating the jobs created by all of the businesses receiving loans during any one year period. Jobs are only considered to be available to low- and moderate-income persons when:

1) Special skills that can only be acquired with substantial training work or experience or education beyond high school are not a prerequisite to fill such jobs, or the business agrees to hire unqualified persons and provide training; and

2) Local government and the assisted business take actions to ensure that low- and moderate-income persons receive first consideration for filling such jobs.

## 2. Activities which aid in the prevention or elimination of slums or blight

According to Section 24 CFR 570.208(d), where the assisted activity is acquisition of real property, a preliminary determination of whether the activity addresses a National Objective may be based on the planned use of the property after acquisition. The documentation required depends on planned use.

a) Activities to address slums or blight on an area basis

An activity that aids in the prevention or elimination of slums or blight in a designated area. Examples include: assistance to commercial or industrial businesses; public facilities or improvements; and code enforcement. The activity must meet all of the following qualifying criteria:

1) The area, delineated by the grantee, must meet a definition of a slum, blighted, deteriorated or deteriorating area under state or local law.

2) There must be a substantial number of deteriorated or deteriorating buildings throughout the area, or the public improvements are in a general state of deterioration.

3) The activity must address one or more of the conditions that contributed to the deterioration of the area.

4) If rehabilitation of residential buildings not occupied by low- and moderate-income persons is undertaken, each such building rehabilitated must be considered substandard under local definition before rehabilitation, and all deficiencies making a building substandard must be corrected before less critical work on the building may be undertaken.

b) Activities to address slums or blight on a spot basis

An activity that aids in the prevention or elimination of slums or blight outside of a slum or blighted area. Examples include: elimination of faulty wiring, falling plaster, or other similar conditions which are detrimental to all potential occupants; historic preservation of public facility; and demolition of a vacant, deteriorated, abandoned building. The activity must meet the following qualifying criteria:

1) The activity must be designed to eliminate specific conditions of blight or physical decay on a spot basis.

2) The activity must be limited to acquisition, clearance, relocation, historic preservation, and/or rehabilitation of buildings. Rehabilitation is limited to the extent necessary to eliminate specific conditions detrimental to public health and safety.

c) Activities to address slums or blight in an urban renewal area

An activity that aids in the elimination or prevention of slums or blight in an urban renewal area. The activity must meet the following qualifying criteria:

1) The activity must be located within an urban renewal project area or Neighborhood Development program (NDP) action area; and

2) The activity must be necessary to complete the urban renewal plan, as then in effect, including initial land redevelopment permitted by the plan.

**3. Activities designed to meet community development needs having a particular urgency**

An activity designed to alleviate existing conditions that have a particular urgency. Examples include major catastrophes or emergencies. The activity must meet the following qualifying criteria:

a) The existing conditions must pose a serious and immediate threat to the health or welfare of the community;

b) The existing conditions are of recent origin or recently became urgent (generally within the past 18 months);

c) The grantee is unable to finance the activity on its own land; and

d) Other sources of funding are not available.

## HUD OUTCOME PERFORMANCE MEASUREMENT SYSTEM

All applications must demonstrate a tie to one of three HUD designated Objectives. In addition, the proposed activity must demonstrate at least one HUD designated Outcome. Please check below the Objective and Outcome that your project meets. Also please provide additional details in the project narrative.

**The HUD Objectives are:**

_____ **Suitable Living Environment** In general this objective relates to activities that are designed to benefit communities, families or individuals by addressing issues in their environment.

_____ **Decent Affordable Housing** This objective focuses on housing programs where the purpose of the program is to meet individual family or community needs and not programs where housing is an element of a larger effort.

_____ **Creating Economic Development** This objective applies to the activities related to economic development, commercial revitalization, or job creation.

**The HUD Outcomes are:**

_____ **Availability/Accessibility** This outcome applies to activities that makes services, infrastructure, or shelter available or accessible to low-and- moderate income people, including persons with disabilities. Accessibility does not refer to physical barriers, but also making the affordable basics of daily living available and accessible to low-and-moderate income people.

_____ **Affordability** This outcome applies to activities that provide affordability in a variety of ways in the lives of low-and-moderate income people. It can include the creation or maintenance of affordable housing, basic infrastructure hook-ups, or services such as transportation or day care.

_____ **Sustainability-Promoting Livable or Viable Communities** This outcome applies to projects where the activity or activities are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to persons of low-and-moderate income or by removing or eliminating slums and blighted areas through multiple activities or services that sustain communities or neighborhoods.

## The PROSPER WACO COLLECTIVE IMPACT INITIATIVE

All applications must demonstrate a tie to at least one of the Prosper Waco Initiative Goals. Refer to Appendix H. Please check below the Goal that your project meets. Also please provide additional details in the project narrative.

**The Prosper Waco Initiative Goals are:**

_____ **EDUCATION:** The Greater Waco community will build an environment that promotes lifelong educational attainment for all residents beginning at birth. The successful outcome of our work will be a 15 percent increase in the number of area residents who complete a post-secondary degree or certificate that prepares them for a successful career and productive citizenship by 2020.

_____ **GOAL 1:** *Kindergarten Readiness*
- Increase the percentage of Kindergarten-ready students by 50%.

_____ **GOAL 2:** *Post-Secondary Success*
- Double the percentage of economically-disadvantaged students who complete a workforce certificate or college degree.

_____ **HEALTH:** McLennan County will reach the top quartile (60th or better) of Texas counties in Quality of Life, currently 187th, and Health Behaviors, currently 116th, in Robert Wood Johnson Foundation County Health Rankings by 2020.

_____ **GOAL 1:** *Access to Care*
- Increase percentage of people covered by health insurance by 1% per year.
- Decrease percentage of people utilizing the ER as a source of primary care by 10%.

_____ **GOAL 2:** *Obesity*
- Decrease the percentage of Waco-area adults and children considered overweight or obese by 5%.

_____ **GOAL 3:** *Women's Health*
- Reduce disparities of poor birth outcomes by 50%.
- Increase percentage of women receiving annual preventative care by 10%.
- Reduce rate of teen pregnancy across all racial groups by 10%.

_____ **GOAL 4:** *Mental Health*
- Decrease use of ER for mental health treatment by 25%.

- Improve ~~"~~poor mental health days" component of RWJF rankings to Texas average.

**FINANCIAL SECURITY:** At least 55% of Waco residents will live with income above 200% of the federal poverty level by 2020.

**GOAL 1:** *Employment*
- Increase employment of Waco residents ages 16-24 by 900 individuals.

**GOAL 2:** *Income*
- Increase median income of full-time workers by 10%.
- Increase median household income for all Waco residents by 10%.
- Decrease the number of Waco-area residents with incomes below 50% of the federal poverty level by 10%.

**GOAL 3:** *Wealth*
- Reduce the percentage of Waco-area households living without three months' worth of savings if they were not able to work.
- More than 50% of Waco households will have a net worth above $15,000.

# CITY OF WACO

# APPLICATION FOR FUNDING

# COMMUNITY DEVELOPMENT PROJECTS

## FOR ASSISTANCE OR GENERAL INFORMATION CALL

**Christy Plemons or Mark Heitman**
**CITY OF WACO**
**P.O. BOX 2570**
**WACO, TEXAS 76702-2570**

**(254) 750-5656**

**DEADLINE FOR APPLICATION SUBMISSION**
**Wednesday, April 12, 2017**
**By 5:00 P.M.**

## APPLICATION SUBMISSION REQUIREMENTS

1) Applicant must be a legal entity.

2) Applicant must meet Federal Guidelines for CDBG funds and City of Waco guidelines for City of Waco funds.

3) Application must be submitted in its entirety by the specified deadline.

4) The proposed project for funding must be an eligible CDBG activity, meet one of three HUD national objectives, the City of Waco's funding priorities, and at least one Waco City Council Strategic Intent as determined by the Housing & Economic Development Department.

## EVALUATION CRITERIA FOR PROPOSALS

**Items that may be considered during the evaluation phase include, but are not limited to, the following:**

***Yes and No answers are not satisfactory.**

Note: Numbers 1 – 5 must be satisfactory in order to continue to Numbers 6 – 17.

1) Completeness of application package and eligibility under CDBG program.
2) **The Prosper Waco Assessment and evidence of written acceptance from Prosper Waco staff.**
3) Potential negative impacts or effects on the environment.
4) Results of previous monitoring.
5) Project match or leveraged funds relative to amount requested.
6) Total amount requested per unit or beneficiary.
7) To what extent does the project meet one or more of the City's strategic intents?
8) Is the project feasible with the stated funding sources?
9) Is there an unmet need for this service?
10) Number of years the agency has been doing this type of project and/or capacity to successfully complete this project?
11) How does the project build financial, health and educational capacity of the beneficiary?
12) How will you track the outcomes of your program? What is the time frame for successful outcomes for the beneficiaries participating in the program?
13) How does the project complement and enhance the existing neighborhood(s)?
14) To what extent has the agency been involved in successful collaborations?

15) Any previous contracts utilizing the city's HUD funds or General funds not finished in a satisfactory manner or in a timely manner.
16) How have you assisted program participants in relocating to high opportunity areas (outside the CDBG area &/or near a high performing school)?
17) If your program serves a revitalization area, how is it leveraging or complementing other investments being made in the area (sidewalks, streets, lighting, park improvements, other programs, etc.)?

## ADDITIONAL INFORMATION TO REVIEW (IF APPLICABLE):

1) Staffing, insurance, fidelity bond and audit results.
2) Project location relative to designated flood hazard areas.
3) Any other current pending issues or past performance issues utilizing the city's HUD funds or General Funds
4) **If applicable, participation in the Homeless Management Information System (HMIS) will be required.**

## INSTRUCTIONS FOR SUBMITTING AN APPLICATION

1) Submit one original and two copies, **unbound** 8 ½ x 11 of the application. Do not staple or hole punch the pages as copies will be reproduced.

2) Be concise, but provide adequate detail.

3) Wherever possible, indicate how your project meets CDBG National Objectives, the City of Waco's funding priorities and Waco City Council Strategic Intents.

4) Applications must be received no later than Wednesday, April 12, 2017.

5) Applications can be provided on disk in Microsoft Word for Windows format, or E-Mailed to a potential applicant.

City of Waco

# Application Cover Sheet

**Date:**

**Submitted by:**

**Title:**

**Agency:**

**Address:**

**Telephone:**

**Contact Person:**

**Amount Requested:**

**Project Title:**

**Brief Description of Project:**

**Location of Proposed Project:**

**Will project be completed no later than September 30, 2018**

# PROJECT APPLICATION FORMAT

Application must be completed in its entirety to be accepted by the City of Waco. Application must be submitted typed. Please use this project application format as a guide for typing the specific information, which is explained under the subheadings, listed below.

**Note: City Council reserves the right to change funding priorities. City Council is the final authority on decisions regarding funding.**

**I. Project Title**

**II. Organization responsible for carrying out the project**
(Name, address, and telephone number)

**III. Person responsible for maintaining accounting records**
(Name, address, and telephone number)

**IV. Person with legal authority to enter into an agreement with the City of Waco**
(Name, address, and telephone number)

**V. Description of project**

- **A narrative explaining how your project meets the City of Waco's highest funding priorities (also refer to pg.6):**
  - **Public services including those that serve youth, homeless individuals or families, and provide employment training to the unemployed or underemployed**
  - **Construction of housing**
  - **Direct homeownership assistance**
  - **Rehabilitation of owner-occupied housing**
  - **Code enforcement**
  - **Public facilities and improvements**

- **The Goals and Metrics of the Prosper Waco initiative**

- The narrative should include the need or problem to be addressed in relation to Waco City Council Goals and Objectives and/or the National Objectives of the Community Development Block Grant program and/or other community development priorities, and the population to be served to the area to benefit.

- Describe the work to be performed, including the activities to be undertaken or the services to be provided, the goals and objectives, method of approach, and the implementation schedule.

- Include the proposed budget on the budget form provided.

- Describe the intended staffing pattern, and identify other sources of funding sought and secured.

- Include the length of time the agency has been in operation, the date of incorporation, the purpose of the agency, and the type of corporation. Describe the type of service provided, the agency's capabilities, the number and characteristics of clients served, and license to operate (if appropriate). Briefly describe the agency's existing staff positions and qualifications. Describe the agency's current operating budget, itemizing revenues and expenses.

- Describe the impact of the proposed project if not funded at the requested level. (e.g. Example Agency Inc. cannot perform the project if only partially funded. – OR –Example If Agency Inc. receives 70% of the requested funding we will rehabilitate seven (7) houses instead of ten (10) houses).

- Identify commitments for ongoing funding and other funding sources. State whether the project is an ongoing project. State whether the agency will seek future funding from the City of Waco for the project. Describe the agency's fiscal management including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

- If the requested funding is for a housing activity, also include the following described in detail how the project:
  - Builds the financial and educational capacity of the homeowner/homebuyer
  - Promotes mixed income neighborhoods,
  - And how your agency combines preservation of existing housing stock and new construction.

- **In accordance with the "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" (Uniform Guidance) adopted by "Federal Awarding Agency Regulatory Implementation of Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards", and codified at 2 CFR, Part 200, the City of Waco requires that organizations spending $750,000 or more in federal funds in a fiscal year must secure an audit. Submit a copy of the most recent audited financial statements. If a newly formed organization, submit an internal financial statement from the date of operation to date.**

- State whether the agency has liability insurance coverage, in what amount, and with what insuring agency. State whether the agency pays all payroll taxes and workers' compensation as required by Federal and State Law. State whether the agency has fidelity bond coverage for staff that handle the agency's accounts, in what amount, and with what insuring agency. Include any other pertinent information.

## VI. Project location(s)

- Identify the location and/or census tract(s) in which the project will be undertaken. List address of location if possible. Describe the boundaries of the area that will be served by the project.

## VII. Anticipated accomplishments/objectives of the project

- Quantitatively state what will be achieved by the project: for example, two miles of streets will be paved; 80 households will be served as a result of the new sewer facilities, 209 acres of park land will be acquired; 50% (3,000 square feet) of the facility will be improved; etc.

## VIII. Collaboration

- Briefly explain the extent to which other organizations were brought in the development phase of this project. Describe any partnerships that may have developed as a result of this collaborative effort.
- **Describe your involvement with the Prosper Waco initiative and to what level you have participated in steering committees/working groups (financial security, education and health).**

## IX. Avoids duplication

- Describe how this project uniquely addresses the needs of the community in a way that is different from other similar projects or programs.

## X. Total estimated cost of the project

- $_____
- Estimated grant/City of Waco share of cost $_____
- Share of cost from other sources $_____

## XI. Project budget, funding sources and amount anticipated

- Complete the project budget form that is attached to this application. Line item budgets must be submitted with each project proposal. The following chart of accounts should be used to prepare budgets submitted. The 4-digit number preceding each line item should be entered as the element and object (El-Obj) on the budget form of the pre-application package. This list is provided for budget preparation purposes and is not intended to be authoritative as to the allowableness of costs. **Allowable cost principles for entities receiving CDBG funds are found in 2 CFR Part 200 and will be further addressed when contracts are awarded.**

  **Salaries and Wages**
  Salaries and wages are the compensation paid to all classifications of employees for personal services rendered while on the payroll of the grant applicant.

  601101 Supervision
  601201 Clerical and Professional
  601301 Labor Operations
  601501 Part Time

  **Employee Benefits**
  Amounts paid by the grant application on behalf of employees. Such payments are fringe benefit payments and, although not paid directly to employees, are parts of the cost of personal services.

  612101 Health Insurance

612102 Life Insurance
612200 Social Security-Medicare
612300 Pension Contributions
612500 Unemployment Compensation
612600 Workers' Compensation

**Purchased Professional and Technical Services**
Services that by their nature can be performed only by persons or firms with specialized skills and knowledge. Although a product may or may not result from the transaction, the primary reason for the purchase is the service provided. Included are the services of architects, engineers, auditors, dentists, physicians, lawyers and consultants.

623100 Special Services
623101 Audit

**Purchased Property Services**
Services purchased to operate, repair, maintain and rent property owned or used by the grant applicant. Persons other than employees perform these services. Although a product may or may not result from the transaction, the primary reason for the expenditure is the service provided.

Utilities
634101 Water/Sewer/Refuse
634400 Rents and Easements

Maintenance of Land
644600 Land

Maintenance of Structures
644701 Buildings
644717 Other

Maintenance of Other
644801 Equipment Maintenance – Furniture/fixtures, Equipment
644810 Vehicle Maintenance – Miscellaneous

**Other Purchased Services**
Amounts paid for services rendered by organizations or personnel not on the payroll of the grant applicant (separate from professional and technical services of property services). Although a product may or may not result from the transaction, the primary reason for the purchase is the service provided.

655100 Property Insurance
655200 Auto Liability
655300 General Liability
655600 Communications – Telephone, cellular, pager, etc.
655700 Advertising – Announcement in professional publications, newspapers or

broadcasts over radio and television. Includes advertising for such purposes as personal recruitment, legal ads, new and used equipment and sale of property.

655800 Travel/Training – Expenditures for transportation, meals, hotel and other expenses associated with staff training related to the project. Contact Housing and Economic Development Department to get approval prior to out of town travel. Includes travel for specific educational purposes.

655901 Hire of Equipment – Includes compensation for rental of equipment, etc. and for in town reimbursement of mileage.

655909 Other – Freight, Express, Janitorial

**Supplies**

Supplies are articles of a nature that after use are consumed or show a material change in or an appreciable impairment of their physical condition and articles subject to rapid depreciation.

General supplies

666101 Office – Includes all supplies necessary for use in the operation of the office, such as: postage, stationery (pens, pencils, etc.), publications (subscriptions for catalogs, maps, magazines, newspapers, etc.), printing and other supplies for the office not specifically stated.

666102 Supplies & Maintenance – Janitorial, Mechanical, Grounds

666103 Non-Expendable Supplies – Supplies with a life expectancy of at least one-year but not included in capital outlay as described below.

666110 Other – Supplies not included in any other category.

Energy

666201 Heat and Fuel

666202 Electricity

666206 Gasoline, Diesel, Oil & Grease.

Property (Capital Outlay)

These include land, buildings, machinery, and equipment.

Land and Buildings

757101 Land Purchase

757102 Land Improvements

757200 Building Purchase/Construction/Renovations

Improvements Other than Buildings

757310 New Signs and Markings

Machinery and Equipment

757401 Furniture and fixtures

757402 Machinery, Tools and Implements

Other Expenses

Amounts paid for goods and services not previously classified

678308 Miscellaneous

## XII. Prior CDBG funded projects

- List project title, year funded (past 5 years) and amount of CDBG funds received by your Agency/Department prior to submission of this application.

## XIII. Contact Person

- (Name, address, and telephone number of person submitting this application)

## XIV. Standard Required Documents

- Please attach the following information regarding the agency or association submitting this application:

  - Articles of Incorporation/Bylaws
    - Articles of incorporation are the documents recognized by the state as formally establishing a private corporation, business or agency.

  - Nonprofit Determination
    - Nonprofit organizations must submit tax-exemption determination letters from the Federal Internal Revenue Service and the Secretary of State and/or State comptrollers Office.

  - List of the Board of Directors
    - A list of the current board of directors or other governing body of the agency must be submitted. The list must include the name, telephone number, address, occupation or affiliation of each member and must identify the principal officers of the governing body.

  - Authorization to Request Funds
    - Documentation must be submitted of the governing body's authorization to submit the funding request. Documentation of this requirement consists of a copy of the minutes of the meeting in which the governing body's resolution, motion or other official action is recorded.

  - Authorized Official
    - Documentation must be submitted of the governing body's action authorizing the representative of the agency to negotiate for and contractually bind the agency. Documentation of this requirement consists of a signed letter from the Chairperson of the governing body providing the name, title, and address and telephone number of each authorized individual.

  - Organizational Chart
    - An organizational chart must be provided which describes the agency's administrative framework and staff positions, which shows where the proposed project will fit into the organizational structure, and identifies any staff positions of shared responsibility.

- **Assessment for Alignment of Program Data with the Prosper Waco Goals and evidence of written acceptance from Prosper Waco.**

- Resume of the Chief Program Administrator
- Resume of the Chief Fiscal Officer
- Financial Statement and Audit
- Conflict of Interest Questionnaire
- Religious Organization Certification (only if applicable)
- Drug Free Workplace Certification
- Documentation of Compliance with National Objectives
- Documentation of Compliance with City Strategic Intents
- Project Budget
- Debarment/Suspension Certification form
- Proof of Minimal Insurance Requirements
    - The Subrecipient will provide continuous enforcement of adequate insurance issued by companies authorized to conduct business in the State of Texas covering all employees employed by the Subrecipient. The Subrecipient shall keep in full force and effect during the term of this agreement insurance in the following types and minimum amounts:

| **TYPE** | **AMOUNTS** |
|---|---|
| 1. * Workers' Compensation | Statutory |
| 2. * Employer's Liability | $500,000/$500,000/$500,000 |
| 3. Commercial General Liability Insurance to include coverage for the following: | |
| a. Premises/operations | $500,000 per occurrence; |
| *b. Independent contractors | $1,000,000 General Aggregate, or its equivalent in Umbrella or Excess Liability Coverage |
| c. Products/completed operations | |
| d. Personal Injury | |
| e. Contractual Liability | |
| f. Explosion, collapse, underground | |
| * If applicable | |
| 4. Business Automobile Liability | |
| a. Owned/leased vehicles | Combined Single Limit for Bodily Injury and Property Damage of $1,000,000 per occurrence |
| b. Non-owned vehicles | |
| c. Hired Vehicles | |
| 5. Director's and Officer's Liability | $100,000 per occurrence; $500,000 General Aggregate. |

* If Applicable

## PROJECT BUDGET

City of Waco, Texas – Community Development Block Grant

Organization Responsible for Project: Sample Project Organization

Title of Proposed Project: Sample Project

Total CDBG Funds Requested: $ 44,000.00

Proposed Project Funding Period: October 1, 2017 through September 30, 2018

| Cost Category @ | | CDBG Funds Proposed $ Budget | Other Funding Sources | Total Costs of Project | Comments or Reference |
|---|---|---|---|---|---|
| **Object** | **Description** | | | | |
| 601101 | Salaries - Supervision | 18,000.00 | | 18,000.00 | |
| 601501 | Salaries - Part Time | 9,600.00 | 18,578.00 | 28,178.00 | |
| 612200 | Social Security/Medicare | 2,111.00 | 1,422.00 | 3,533.00 | |
| 623100 | Special Services | 3,500.00 | | 3,500.00 | (Bookkeeping-$1,500.00 |
| - | | | | | Consultant - $2,000.00) |
| 644701 | Building Maintenance | 1,000.00 | 1,000.00 | 2,000.00 | |
| 655100 | Property Insurance | 1,300.00 | | 1,300.00 | |
| 655901 | Mileage Reimbursement | 400.00 | | 400.00 | |
| 666101 | Office Supplies | 900.00 | | 900.00 | |
| 666102 | Maintenance Supplies | 2,000.00 | | 2,000.00 | |
| 666103 | Non-Expendable Supplies | 1,580.00 | | 1,580.00 | (Office Calculator, Desk, Office Chairs Small tools |
| - | | | | | |
| 666110 | Other Supplies | 3,609.00 | | 3,609.00 | (Educational / Recreational Supplies) |
| Total CDBG / Other Funds Requested: | | $44,000.00 | 21,000.00 | 65,000.00 | |

**(You may attach additional sheets as needed. Please number sheets if multiple sheets are submitted.)**

# APPLICATION CHECKLIST

- Narrative data on project and applicant
- Articles of Incorporation and Bylaws
- State and Federal Tax Exemption Determination Letters
- List of Board of Directors
- Board of Directors' authorization to request funds
- Board of Directors' designation of authorized official
- Organizational Chart
- Resume of program administrator
- Resume of fiscal officer
- Financial statement and most recent Audit
- Religious Organization Certification (only if applicable)
- Drug Free Workplace Certification
- Document compliance with National Objectives
- Document compliance with City Strategic Intents
- Project Budget Form
- Implementation Schedule
- Debarment/Suspension Certification form
- Proof of required insurance
- **The Prosper Waco Assessment and evidence of written acceptance from Prosper Waco.**

# SUMMARY OF ELIGIBLE AND INELIGIBLE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM ACTIVITIES

Below is a summary of the activities that are eligible and ineligible for assistance under the Community Development Block Grant (CDBG) Program pursuant to the governing regulations of the Code of Federal Regulations, Title 24, Part 570, and Sections 570.200 – 570.207. For a more complete description, the regulations should be consulted.

## General Policies – 24 CFR 570.200

The primary objective of the CDBG Program is the development of viable urban communities, by providing decent housing and suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Funds must be used so as to give maximum feasible priority to activities which will carry out one of the three broad national objectives of: benefit to low- and moderate-income families; or aid in the prevention or elimination of slums or blight; or activities designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs. At least 70% of the total CDBG funds must be used for activities that benefit low- and moderate-income persons over a one-, two-, or three-year period; and at least 51% of the beneficiaries of individual activities designed to benefit low- and moderate-income persons must be shown to be of low- and moderate-income.

## Basic Eligible Activities – 24 CFR 570.201

(a) Acquisition in whole or part by purchase, long-term lease, donation, or otherwise, of real property for any public purpose, subject to the limitations of paragraph 570.207.

(b) Disposition of real property acquired with CDBG funds through sale, lease or donation, or otherwise; or its retention for public purposes.

(c) Acquisition, construction, reconstruction, rehabilitation or installation of public facilities and improvements, except buildings for the general conduct of government. Activities may include:

- Design features and improvements which promote energy efficiency; and
- Architectural design features and treatments intended to enhance the aesthetic quality of facilities and improvements.

Eligible facilities include those serving persons having special needs such as homeless shelters; convalescent homes; hospitals; nursing homes; battered spouse shelters; halfway houses for run-away children, drug offenders or parolees; group homes for mentally retarded persons; and temporary housing for disaster victims.

In certain areas, non-profit entities and subrecipients (including those specified under 24 CFR 570.204) may acquire title to public facilities; when owned by non-profit entities or subrecipients such facilities must be operated so as to be open for use by the general public during all normal hours of operation.

(d) Clearance, demolition, removal of buildings and improvements, and movements of structures to other sites. Demolition of HUD-assisted housing units may be undertaken only with the prior approval of HUD.

(e) Provision of public services (including labor, supplies and materials) such as those concerned with child care, health care, education, job training, public safety, fair housing counseling, recreation, senior citizens, homeless persons, drug abuse counseling and treatment, and energy conservation counseling and testing. The services must meet each of the following criteria:

- A service must either be new or be a quantifiable increase in the level of a service above that which has been provided with state or local funds in the previous twelve calendar months; and
- The amount obligated for public services shall not exceed 15% of the annual grant, plus 15% of the program income received from the previous year.

Exception: A grantee which obligated for public service more than 15% of its CDBG grant from FY 82 or FY 83 appropriations (excluding assistance received per Public Law 98-8) may continue to obligate more than 15% of its CDBG grant for public services so long as the amount in any program year does not exceed the percentage or amount obligated in FY 82 or FY 83, using whichever method of calculation yields the higher amount.

(f) Interim assistance to correct objectively determinable signs of physical deterioration in areas where immediate action is necessary and where permanent improvements will be carried out as soon as practicable; or to alleviate emergency conditions threatening the public health and safety and requiring immediate resolution.

(g) Payment of the non-Federal share required in connection with a Federal grant-in-aid program undertaken as part of CDBG activities.

(h) Completion of urban renewal projects funded under Title I of the Housing Act of 1949, as amended.

(i) Relocation payments and assistance to displaced individuals, families, businesses, non-profit organizations, and farm operations.

(j) Payment to housing owners for losses of rental income incurred in holding units for persons displaced by relocation activities.

(k) Removal of material and architectural barriers which restrict the mobility and accessibility of elderly and handicapped persons to publicly- and privately-owned buildings, facilities and improvements.

(l) Acquisition, construction, reconstruction, rehabilitation or installation of the distribution lines and facilities of privately-owned utilities.

(m) Construction of housing assisted under Section 17 of the United States Housing Act of 1937.

(n) Direct assistance to facilitate and expand low- and moderate-income home ownership by subsidizing mortgage rates and principle amounts, financing the acquisition of housing occupied by low- and moderate-income persons, acquiring guarantees of financing obtained from private lenders, providing up to 50% of down payment, or paying reasonable closing costs. (See National Affordable Housing Act of 1990, Title IX, Subtitle A.)

CITY OF WACO

## HUD Income Guidelines for Program Year 2017/2018

| Family Size | Low Income (80% of MFI) | Very Low Income (50% of MFI) | Very Very Low Income (30% of MFI) |
|---|---|---|---|
| 8 | $55,350 | $34,600 | $20,750 |
| 7 | $52,000 | $32,500 | $19,500 |
| 6 | $48,650 | $30,400 | $18,250 |
| 5 | $45,300 | $28,300 | $17,000 |
| 4 | $41,900 | $26,200 | $15,700 |
| 3 | $37,750 | $23,600 | $14,150 |
| 2 | $33,550 | $21,000 | $12,600 |
| 1 | $29,350 | $18,350 | $11,000 |

*New Income Guidelines for 2017/2018 were posted February 2017.

# CITY OF WACO
# RELIGIOUS ORGANIZATION CERTIFICATION

In addition to, and not in substitution for, other provisions of this agreement regarding the provision of Community Development Program activities pursuant to the Community Development Block Grant Program, the Contractor:

1) Represents that it is, or may be deemed to be, a religious or denominational institution or organization or an organization operated for religious purposes.

2) Agrees that, in connection with such community development activities and operational costs:

    a. It will not discriminate against any persons seeking community development services and/or related services on the basis of religion or religious belief; and

    b. It will not use CDBG funds to support any inherently religious activities, such as worship, religious instruction, or proselytization.

_____ _____

Signature Date

## DRUG-FREE WORKPLACE ACT CERTIFICATION

1. Applicant certifies that it shall provide a drug-free workplace by:

(a) publishing a statement notifying employees that unlawfully manufacturing, distributing, dispensing, possessing or using a controlled substance in the workplace is prohibited and specifying the actions that will be taken against employees for violation of such prohibition;

(b) establishing a drug-free awareness program to inform employees about:

(1) the dangers of drug abuse in the workplace;

(2) the company's policy of maintaining a drug-free workplace;

(3) any drug counseling, rehabilitation, and employee assistance programs that are available; and

(4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the Agreement be given a copy of the statement required by paragraph (a).

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the Agreement, the employee shall:

(1) abide by the terms of the statement; and

(2) notify the employee's employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such a conviction;

(e) notifying City within ten (10) days after receiving notice under subparagraph (d)(2), from an employee or otherwise receiving actual notice of such conviction;

(f) taking one of the following actions, within thirty (30) days of receiving notice under subparagraph (d)(2), with respect to any employee so convicted:

(1) taking appropriate personnel action against such an employee, up to and including termination; or

(2) requiring such an employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

2. Applicant's headquarters are located at the following address. The addresses of all other workplaces, if any, shall be provided on an accompanying list.

| | |
|---|---|
| Name: | |
| Street Address: | |
| City: | Waco |
| County: | McLennan |
| State: | Texas |
| Zip Code: | |

SIGNED BY:

_____

_____
Printed Name and Title

Date: _____

# INSTRUCTIONS FOR CONFLICTS OF INTEREST QUESTIONNAIRE [Form CIQ]

Chapter 176 of the Texas Local Government Code requires vendors who wish to conduct business or be considered for business with a city to file a "conflict of interest questionnaire." The Texas Ethics Commission (TEC) created the conflict of interest questionnaire (Form CIQ).

**Who must complete and filed CIQ form?**
Every vendor doing business with the City or seeking to do business with the City must complete Box 1 and sign and date in Box 4. Whether or not a conflict exists determines the other information to include on the form.

**Who is a vendor?**
The term "vendor" includes a partnership, corporation or other legal entities, including those performing professional services. Partnerships or corporations act through individuals, but it is the partnership or corporation that is doing business with or seeking to do business with the City.
If the vendor seeking to do business with the City is a sole proprietorship, then just the name of the person who is the vendor is needed.

**What triggers the requirement to file the Form CIQ?**
When a vendor (or an agent of the vendor) begins (1) contract discussions or negotiations with the city or (2) submits an application, quote, response to request for proposals or bids, or anything else that could result in an agreement (contract or purchase order) with the City, Form CIQ must be completed. Whether the vendor initiates the discussion or the City initiates the discussions, Form CIQ must be completed. The monetary amount or value of the contract/purchase does not matter. The contract or purchase may involve the sale or purchase of property, goods, or services with the City of Waco

**When does a conflict requiring disclosure exist? What has to be revealed?**

- A vendor shall file a completed conflict of interest questionnaire if the vendor has a business relationship with the City of Waco and the vendor:
  (1) has an employment or other business relationship with an officer of the City of Waco, or a family member of an officer, that results in taxable income exceeding **$2,500** during the 12 month period preceding the date a contract/purchase is executed or a contract/purchase is being considered; or
  (2) has given an officer of the City of Waco, or a family member of an officer, one or more gifts with the aggregate value of more than **$100** in the 12 month period preceding the date a contract/purchase is executed or a contract/purchase is being considered
  (3) has a family relationship with an officer of the City of Waco.

**What family relationships create a conflict?**
A "family member" is a person related to another person within the first degree by consanguinity (blood) or affinity (marriage), as described by Subchapter B, Chapter 573, Texas Government Code. The ending of a marriage by divorce or the death of a spouse ends relationships by affinity created by that marriage unless a child of that marriage is living, in which case the marriage is considered to continue as long as a child of that marriage lives.
"Family relationship" means a relationship between a person and another person within the third degree by consanguinity or the second degree by affinity, as those terms are defined by Subchapter B, Chapter 573, Texas Government Code.

**Who are officers of the City of Waco?**
Officers are the members of the Waco City Council, the City Manager, and any agent or employee who exercises discretion in the planning, recommending, selecting, or contracting with a vendor. An agent may include engineers and architects, as well as others, who assist the City is making a decision on some contract or purchase.

**When must a vendor file the conflict of interest questionnaire?**
No later than seven days after the date the vendor: (a) begins contract discussions or negotiations with the city, or (b) submits an application or response to a request for proposals or bids, correspondence, or another writing related to a potential agreement with a city, or (c) becomes aware of an employment or other business relationship with an officer or family member of the officer that the vendor (i) has made one or more gifts of more than $100 or (ii) has a family relationship with.

**How do I go about filling out the Conflict of Interest Questionnaire form?**

Section 1: Fill in the full name of the **person or company** who is trying to do business with the City. If the "person" is a corporation, partnership, etc., then it is the name of that corporation, partnership, etc., that is required on Form CIQ. If a sole proprietorship, then just the name of the individual is needed. If the "person" is an individual acting as an agent for some other person or a company, then it is the agent's name. **Any time an agent is involved, two FORM CIQs must be completed and submitted**: one for the agent, and one for the person or company that the agent acted for. The agent's FORM CIQ must note the vendor that the agent acted for.

Section 2: Check box if the form is an update to a form previously completed. Updates are required by the 7th business day after an event that makes a statement in a previously filed questionnaire incomplete or inaccurate. Updates are also required by September 1 of each year in which the person submits a proposal, bid or response to the City of Waco or begins contract discussions or negotiations with the City.

Section 3: Complete by listing the name of the City of Waco officer with whom there is an affiliation to or business relationship and check the "Yes" or "No" box in Section 3 A, B, or C. If there is more than one City officer with whom there is an affiliation or business relationship, a separate form should be completed for each officer.

- 3.A: State whether the officer named on the form receives or is likely to receive taxable income, other than investment income, from the vendor filing the questionnaire.
- 3.B: State whether the vendor receives or is likely to receive taxable income, other than investment income, from or at the direction of the officer named on the form AND the taxable income is not received from the City.
- 3.C: State whether the filer is employed by a corporation or other business entity with which the City officer serves as an officer or director or holds an ownership interest of 1% or more.
- 3.D: Describe each employment or business relationship with the local government officer named on the form.

Section 4. Person completing form must date and sign the form. If the form is being completed for a corporation, partnerships, etc., the person signing should be someone who is authorized to act on behalf of the corporation, partnership, etc.

**A signature is required in box #4 regardless of any other entry on the form.**

**A copy of Chapter 176 of the Texas Local Government Code can be found at:**

**http://www.statutes.legis.state.tx.us/SOTWDocs/LG/htm/LG.176.htm**

# CONFLICT OF INTEREST QUESTIONNAIRE

**FORM CIQ**

**For vendor doing business with local governmental entity**

**This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.**

This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. *See* Section 176.006(a-1), Local Government Code.

A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.

**OFFICE USE ONLY**

Date Received

This includes the vendor name even if a conflict does not exist

1 **Name of vendor who has a business relationship with local governmental entity.**

Insert name of vendor seeking to do business with the City of Waco

2 ☐ **Check this box if you are filing an update to a previously filed questionnaire.**

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)

3 **Name of local government officer about whom the information in this section is being disclosed.**

Insert name of officer with whom there is business, employment or family relationship. If no conflict, insert N/A.

Name of Officer

This section (item 3 including subparts A, B, C, & D) must be completed for each officer with whom the vendor has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the vendor?

Complete A-C if a conflict exist

☐ Yes ☐ No

B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

☐ Yes ☐ No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more?

☐ Yes ☐ No

D. Describe each employment or business and family relationship with the local government officer named in this section.

identify and describe the relationship, if applicable

4

Signature required -- so sign and date, even if no conflict

Signature of vendor doing business with the governmental entity

Date

Adopted 8/7/2015

# CONFLICT OF INTEREST QUESTIONNAIRE

**FORM CIQ**

**For vendor doing business with local governmental entity**

**This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.**

This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. *See* Section 176.006(a-1), Local Government Code.

A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.

**OFFICE USE ONLY**

Date Received

1 **Name of vendor who has a business relationship with local governmental entity.**

2 ☐ **Check this box if you are filing an update to a previously filed questionnaire.**

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)

3 **Name of local government officer about whom the information in this section is being disclosed.**

_____

Name of Officer

This section (item 3 including subparts A, B, C, & D) must be completed for each officer with whom the vendor has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the vendor?

☐ Yes ☐ No

B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

☐ Yes ☐ No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more?

☐ Yes ☐ No

D. Describe each employment or business and family relationship with the local government officer named in this section.

4

_____ _____

Signature of vendor doing business with the governmental entity Date

Adopted 8/7/2015

# PROJECT BUDGET

City of Waco, Texas – Community Development Block Grant
Project Budget Proposal

Organization Responsible for Project: _____

Title of Proposed Project: _____

Total CDBG Funds Requested: _____

Proposed Project Funding Period: _____

| Cost Category | | CDBG Funds Proposed $ Budget | Other Funding Sources | Total Costs of Project | Comments or Reference |
|---|---|---|---|---|---|
| **Object** | **Description** | | | | |
| | | | | | |
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| | | | | | |
| | | | | | |
| **Total CDBG / Other Funding Sources:** | | | | | |

**(You may attach additional sheets as needed. Please number sheets if multiple sheets are submitted.)**

CITY OF WACO

Housing and Economic Development Department
Post Office Box 2570
Waco, Texas 76702-2570
254 / 750-5656
Fax: 254 / 750-5604
www.waco-texas.com

# CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

Project Name:
Location:
Project #:

TO: **CITY OF WACO**
**HOUSING AND ECONOMIC DEVELOPMENT DEPARTMENT**
**P.O. BOX 2570**
**WACO, TX 76702-2570**

This certification is required or may be required by the regulations implementing Executive Order 12549. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). For further assistance in obtaining a copy of the regulations, contact the City of Waco General Services Department.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS)**

(1) The prospective lower tier participant (BIDDER/PROPOSER/SUBRECIPENT) certifies, by submission of this proposal that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal or State department or agency.

(2) Where the prospective lower tier participant (BIDDER/PROPOSER/SUBRECIPENT) is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

_____
Company

_____
Name and Title of Authorized Representative

_____
Signature Date

## INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant (BIDDER/PROPOSER/ SUBRECIPENT) is providing the certification.

2. The certifications in this clause are a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant (BIDDER/PROPOSER/ SUBRECIPENT) knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant (BIDDER/PROPOSER/SUBRECIPENT) shall provide immediate written notice to the person to whom this bid/proposal is submitted if at any time the prospective lower tier participant (BIDDER/PROPOSER/SUBRECIPENT) learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant (BIDDER/PROPOSER/SUBRECIPENT) agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant (BIDDER/PROPOSER/SUBRECIPENT) further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction, "without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition

to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

4901 Bosque Blvd., Suite 290
Waco, Texas 76710
Matthew Polk, PhD, MBA
Executive Director
(P): 254-741-0081
(E): matthew@prosperwaco.org

## 2020 Initiative Goals

**Prosper Waco Mission**

*To build an environment in which all members of our Waco community are able to measurably improve their education, health, and financial security.*

### EDUCATION

**OVERARCHING**: The Greater Waco community will build an environment that promotes lifelong educational attainment for all residents beginning at birth. The successful outcome of our work will be a 15 percent increase in the number of area residents who complete a post-secondary degree or certificate that prepares them for a successful career and productive citizenship by 2020*.

**GOAL 1:** *Kindergarten Readiness*
- Increase the percentage of Kindergarten-ready students by 50 percent over the current baseline.

**GOAL 2:** *Post-Secondary Success*
- Double the percentage of economically-disadvantaged students who complete a workforce certificate or college degree.

### HEALTH

**OVERARCHING**: McLennan County will reach the top quartile (60th or better) of Texas counties in Quality of Life, currently 187th, and Health Behaviors, currently 116th, in Robert Wood Johnson Foundation County Health Rankings by 2020.

**GOAL 1:** *Access to Care*
- Increase percentage of people covered by health insurance by 1 percent per year.
- Decrease percentage of people utilizing the ER as a source of primary care by 10 percent.

**GOAL 2:** *Obesity*
- Decrease the percentage of Waco-area adults and children considered overweight or obese by 5 percent.

**GOAL 3:** *Women's Health*
- Reduce disparities of poor birth outcomes+ by 50 percent.
- Increase percentage of women receiving annual preventative care by 10 percent.
- Reduce rate of teen pregnancy across all racial groups by 10 percent.

**GOAL 4:** *Mental Health*
- Decrease use of ER for mental health treatment by 25 percent.
- Improve "poor mental health days" component of RWJF rankings to Texas average.

### FINANCIAL SECURITY

**OVERARCHING**: At least 55 percent of Waco residents will live with income above 200% of the federal poverty level^ by 2020.

**GOAL 1:** *Employment*
- Increase employment of Waco residents ages 16-24 by 900 individuals, thereby decreasing unemployment by 50 percent.

**GOAL 2:** *Income*
- Increase median income of full-time workers by 10 percent.
- Increase median household income for all Waco residents by 10 percent.
- Decrease the number of Waco-area residents with incomes below 50 percent of the Federal Poverty Level by 10 percent.

**GOAL 3:** *Wealth*
- Reduce the percentage of Waco-area households living below the liquid asset poverty rate to the Texas average (~50 percent).
- More than 50 percent of Waco households will have a net worth above $15,000.

*: Measured by assessment adopted by local ISDs
+: Pre-term deliveries and low birth weight
^: $48,500 for a family of 4

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**Education**

| **Kindergarten Readiness:** Increase the percentage of Kindergarten-ready students by 50 percent over the current baseline. | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many children were enrolled in and completed the program?<br>• What were the demographics of the children served (race/ethnicity, income, etc.)?<br>• What programs/services aligned to WISD's Kindergarten readiness assessment were provided?<br>• How many activities/sessions/etc. did each child participate in? | • How did children served by the program perform on WISD's Kindergarten readiness assessment (as reported by WISD)?<br>• How did children served by the program perform on 3rd grade reading/math STAAR exams? |

| **Post-secondary Success:** Double the percentage of economically-disadvantaged students who complete a workforce certificate or college degree | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many economically-disadvantaged students were served by the program?<br>• What services/activities/etc. does the program provide that prepare student for post-secondary success, facilitate student transition to post-secondary programs, and/or support student completion of post-secondary programs? | • How many students served by the program completed a post-secondary degree or workforce certificate (either while in high school or after)? |

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## Health

| Access to Care: Increase percentage of people covered by health insurance by 1 percent per year | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many uninsured people were served by the program? | • How many program participants achieved documented health coverage (private insurance, Medicaid/Medicare, etc.)?<br>• How many program participants have a documented source of primary healthcare other than the hospital emergency room? |

| Obesity: Decrease the percentage of Waco-area adults and children considered overweight or obese by 5 percent | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many people were served by the program?<br>• What were the age and Body Mass Index (BMI) of each program participant? | • What was the post-program BMI for each program participant?<br>• What change did each participant show on pre- and post-measures of health education and level of physical activity? |

| Women's Health: Increase percentage of women receiving annual preventative care by 10 percent | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many women were served by the program?<br>• What were the demographics of program participants?<br>• What programs/services related to women's health were provided to program participants? | • How many preventative health procedures (well-woman exams, mammograms, etc.) were provided to program participants?<br>• What percentage of pregnant program participants delivered full-term, healthy-weight babies? |

| Mental Health: Decrease use of ER for mental health treatment by 25 percent | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many people with a diagnosed mental health condition were served by the program?<br>• How many of the program participants previously received mental health care in the hospital emergency room?<br>• How many people were trained in mental health first aid or a similar program? | • How many of the program participants who had previously received mental health care in the hospital emergency room were provided care in non-ER settings?<br>• How many program participants were connected with a provider for ongoing mental health treatment that would reduce the likelihood that they will seek mental health care in the ER?<br>• What change did program participants how on pre- and post-measures related to mental health education? |

4901 Bosque Blvd., Suite 290
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254-741-0081
www.prosperwaco.org

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INSPIRING CHANGE. ACHIEVING RESULTS.

**Financial Security**

| **Employment:** Increase employment of Waco residents ages 16-24 by 900 individuals, thereby decreasing unemployment by 50 percent | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many people aged 16-24 started your program?<br>• How many program participants were employed or enrolled in school at the beginning of the program?<br>• What were the wages of the employed individuals at the beginning of the program?<br>• How many people completed the program? How many certificates were awarded through the program? | • How many individuals secured jobs after completing your program?<br>• What were the wages of the individuals who secured jobs?<br>• How many individuals were employed at 6mos? 12mos? 24 months?<br>• How many individuals entered or re-entered a post-secondary degree or workforce certificate program after completing your program? |

| **Income:** Increase median income of full-time workers by 10 percent; Decrease the number of Waco-area residents with incomes below 50 percent of the Federal Poverty Level by 10 percent | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many people with incomes at or below 50% of the FPL started your program?<br>• What were the wages for each person who started the program?<br>• How many people completed the program?<br>• How many certificates were awarded? What other documentation of increased job skills did participants earn? | • How many of the program participants held employment after completing the program?<br>• How many participants earned a new job at a higher salary after completing the program?<br>• What were the wages of each person 6 months after completing the program? At 12 months? At 24 months? |

| **Wealth:** Reduce the percentage of Waco-area households living below the liquid asset poverty rate to the Texas average (~50 percent); More than 50 percent of Waco households will have a net worth above $15,000 | |
|---|---|
| **Outputs** | **Outcomes** |
| • How many people started/completed your program?<br>• How many people were provided education related to savings and/or asset building?<br>• How many people accessed banking services (checking/savings account) and/or reduced their dependence on predatory loans? | • How many increased their savings after completing the program?<br>• How many people increased their net worth after completing the program? For those who purchased homes, what is the projected impact on the net worth of homeownership?<br>• What is the savings amount and net worth of program participants after one year? |

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**Assessment for Alignment of Program Data with Prosper Waco Goals**

This form will allow service organizations, City of Waco staff, and Prosper Waco staff to assess the degree to which data from various programs reflect each program's contribution toward the goals established by the Prosper Waco steering committees. See the attached summary of the measurable goals included within the Prosper Waco initiative. Also see the attached document of the questions that program providers can ask to generate data that reflects the program outputs and outcomes that are aligned with the Prosper Waco goals.

**Outputs:** work done by the program (e.g., # of people served, # of services performed, etc.)
**Outcomes:** measurable changes in the lives of program participants (e.g., # of participants obtaining jobs, participants' post-program income level, # of participants securing health coverage, etc.)

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**Name of Organization:**

**Name of Program:**

**Prosper Waco goal(s) to which program is aligned:**

**Outputs that program is currently reporting to City:** (see attached document for examples)
–include either types of outputs (e.g., number of people served) or actual data

1)

2)

3)

4)

**Outcomes that program is currently reporting to City:** (see attached document for examples)
–include either types of outcomes (e.g., number of program participants who obtain jobs) or actual data

1)

2)

3)

4)

**Outputs and outcomes that program collects but does NOT currently report to City:** (see attached document for examples)
–include either types of outputs/outcomes or actual data

1)

2)

3)

4)

**Which outputs and outcomes included in the attached examples would you find difficult to provide data for based on your current data collection capabilities?**

1)

2)

**Are there other outputs or outcomes that you collect (or could collect) that you think would help the City to determine whether your program was successful in contributing to the Prosper Waco goals?**

1)

2)

3)